NEW JOIN/ INITIAL JOIN AUDIT PROCESS

Presenter: GySgt DuBuclet
MFRAAU@usmc.mil

AGENDA

References
Basic Information
Electronic Service Record (ESR)
Audits
- Occasions
  - New Join
  - First Stage
  - Second Stage
  - Mobilization/Deployment Readiness
  - Post-deployment/De-mobilization/Post TAD Excess/From FAP Audit
  - Member married to member
- New Join Audit Process
- Trends

Questions

REFERENCES

DODFMR, Vol 7A
Joint Federal Travel Regulation (JTR)
MCTFSPRIUM
MCTFSAPSM
TFDW Online Codes (External Link on MISSA/MISSO site)
MCO 1000.6 ACTS Manual
MCO P1070.12K IRAM
MCO 1741.8 Government Insurance Manual (SGLI)
MCO 7220.21F Advance Pay Incident to a PCS
MCO 7220.56 Entitlement to BAH other than the PDS W/Change 1 (MARADMIN 213/09)
MCO 10110.47A BAS and Meal Card Program
MARADMINs (Various)
PAAs (Various)
PAANs (Various)
TANs (Various)

BASIC INFORMATION

Audits will be accomplished to ensure accuracy, completeness,
currency, and consistency of the Marine's Electronic Service Record (ESR) match that of the Marine Corps Total Force System and are in compliance with the Marine Corps Total Force System Personnel Reporting Instruction User Manual

BASIC INFORMATION

Required Programs:

(Below programs require various forms DD Form 577, SAAR (DD Form 2875) and/or required training certificates)

Unit Diary Management Integrated Personnel System (UDMIPS)
Permissions given by CO/I-I/ECO

Marine Corps Total Force System (MCTFS)
Permissions given by SAAR Form and MISSO

Document Tracking Management System (DTMS)
Permissions given by CO/I-I

Electronic Document Access (EDA)
Permissions given by MISSO

Marine On-Line (MOL)
Permissions given by CO/I-I and MOL Manager

Optical Digital Imaging (ODI) and Imaging Professional (Windows) (ESR Process)
Requires Account Registration

Dual Service Leave and Earnings (LES) Statements
Permissions given by DFAS

ELECTRONIC SERVICE RECORDS

ELECTRONIC SERVICE RECORDS

Install Optical Digital Imaging Professional (All computers excluding Windows XP)
or
NMCI FRS# 10626 (For Windows XP Computers)

Command must have two types of profile accounts (**User and Releaser**). One person cannot have both of these profiles.

SAAR (DD Form 2875) is required when requesting access to ODI

With the exception of blocks 21 through 25 and Part IV, ALL blocks must be completed to include the User Initials on the last 2 pages.

The supervisor signing the form (block 18) must be a SNCO or above. Indicate in block 17 the grade/rank of the supervisor signing the form.

Completed forms can be emailed to: **smb_mmsb-help_desk@usmc.mil**

MMSB will send an email with USER ID and PASSWORD and the web link with instructions to download the ODI Program.

The computer with ODI is required to have a printer and scanner directly attached to the computer.

ELECTRONIC SERVICE RECORDS

Temporary process until units have an ODI account and compatible scanner:

Units will need to send their files via AMRDEC SAFE website (**https://safe.amrdec.army.mil/SAFE/**) and send it to the **SMB.manpower.mmsb@usmc.mil**. To ensure their files are processed in a timely manner, they will need to Zip all their files into one Zip file and attach the Zip to AMRDEC

ELECTRONIC SERVICE RECORDS

Requires UMSR and OMPF permissions for all Command RUCS (Active and Reserve)

New Join Scan Process (Marine checks-in with their record previously scanned):

Join the member to the UMSR (Morning Report)
Allows 5 days to view the members record in order to conduct the audit

Scan the audit into ODI (must be reviewed and approved)

Validate the scanned audit has been placed into the members OMPF under the “Field” Tab

Return the audit documentation back to the member for their records

Initial Scan Process:

Prepare the SRB/OQR for initial scan (Remove SSN’s and add EDIPI’s EXCLUDING UPB’s)

Scan SRB/OQR into the ODI program (must be reviewed and approved)

Validate the record was loaded into the members OMPF under the “Field” Tab

Report the Training Event code “ER” via unit diary

Return the SRB/OQR or updated forms back to the member for their records

Updated information process (Previously scanned ESR):

Prepare updated documentation for scan (Remove SSN’s and add EDIPI’s EXCLUDING UPB’s)

Scan documentation into the ODI program (Must be reviewed and approved)

Validate scan has been placed in the members OMPF under the “Field” Tab

Return documentation back to the member

ELECTRONIC SERVICE RECORDS

ORDER OF DOCUMENTS

******RIGHT SIDE OVER LEFT SIDE******

CONTRACT
PG 11
UPB
RED
SGLI
FSGLI (If required)
BIR
CRCR
W-4
DD 2058/2058-1
10922
CSB
VA WAIVER (if receiving benefit)
NOBE/DD Form 2366/2366-1/VEAP
Previous DD Form 4s/NAVMC 321a's
DD Form 214/215s
ROS (Sgt and above)

PG 3
PG 8 (If applicable)
PG 12 (If entries are present)

AUDITS

AUDIT OCCASIONS

New Join Audit. Consists of two stages and must be completed within 60 days of the Marine's present unit joined date.

New Join Audit (Stage one). Upon arrival at the new permanent duty station, an interview with the Marine will be conducted. All members, to include those that are single will certify their entitlement to BAH. Not required for a Permanent Change of Assignment (PCA) if the Admin RUC does not change.

New Join Audit (Stage two). Once the join posts the auditor is responsible to ensure the accuracy of MCTFS data, pay and allowances, validate that all required documents are in the ESR; there should be no disagreement between MCTFS and the ESR.

Triennial Audit. At least once every three years from the date of the last join
process audit or triennial audit. To reduce the number of times a Marine is required to physically visit the administrative section, Marines or Administrative personnel are able to declare any visit for routine service as their triennial audit. This audit will be conducted similar to the join

AUDIT OCCASIONS

Mobilization/Deployment Readiness Audit. For a deployment, mobilization and Annual Training (AT) which is anticipated to be 31 days or more in duration, active component and AR Marines will be audited no earlier than 60 days prior to deployment and reserve component Marines will be audited no earlier than 60 days prior to commencement of a AT. Audit tools include: RED, SGLI CRCR/BIR (reserve only).

Post-deployment/De-mobilization/Post TAD Excess/From FAP Audit. Whenever a Marine returns from a deployment/FAP to include return from a period of TAD 31 or more days. Within 30 days of the Marine's return to the PDS/FROM FAP an audit will be conducted on all pay and allowances. This audit does not require the physical presence of the Marine. NOTE: Although the RED is not a requirement for audit under this occasion, Marines should be advised to validate RED information via MOL.

AUDIT OCCASIONS

Member married to member:

Auditors must review the entitlements of the member's spouse to avoid unauthorized or duplicate payments of entitlements and allowances. Particular emphasis must be placed on BAH, Family Separation Allowance (FSA), Overseas Housing Allowance (OHA), Government quarters and Cost of Living Allowance (COLA).

Upon reporting to a new PDS, gaining a member spouse or a member spouse status change, a member to member data sheet (PRIUM Table 12-4) must be completed. Once completed ensure it is scanned and uploaded in the member's ESR.

An annual administrative review is required to be conducted. At a minimum the audit must cover pay and entitlements for the proceeding 12 months for both members or from the last join audit, whichever is more recent. All documentation will be maintained in the unit files for the current year plus 2 years.

AUDIT OCCASIONS

Member married to member (Continued):

Marines married to Marines. Audit of Marines married to other Marines will include a review and comparison of entitlements using TRS Remarks Summary screens or LES. Both the service member and service spouse TRS Remarks Summary or LES should be extracted and reviewed for potential unauthorized and/or dual payment of entitlements and allowances. In lieu of the TRS Summary or LES, units may utilize Cognos Business Intelligence which contains all potential entitlements and allowances for both members.

Marines married to other members of the Armed Forces. Other service personnel pay records are not accessible via MCTFS, but are accessible via the Defense Joint Military Pay System (DJMS). In the absence of DJMS access, members married to members of other services are responsible for providing the information of their service spouse's entitlements and allowances. Members must provide the reporting unit copies of their spouse's LES's covering the required audit period to conduct the review and comparison of entitlements.

NEW JOIN AUDIT PROCESS

First Stage Audit (Checking In):

1. (Active Duty/AR Only) - Acquire from member Permanent Change of Station (PCS) orders, detaching endorsement, and Web Orders

a. Accession Marines to the Active Reserve Program will begin their orders effective the date of the orders. The reserve unit will report the transfer entry via Unit Diary. The report date will allow for their authorized travel from their "Place Entered Active Duty" (PLEAD) to their duty station. Entitlements will be based on their PLEAD until the report date and change to the Duty Station

2. (Reserve) – Acquire Initial Entry Pipeline, inter-unit transfer, Inter-Service Transfer, Join from IRR documentation

3. Complete reporting endorsement

4. Check DTMS and EDA for Dislocation Living Allowance (DLA), Advanced Travel, Temporary Lodging Expense (TLE), Temporary Lodging Allowance (TLA), Advance Pay, Advanced Basic Allowance for Housing (BAH) (If requested at departing command, print and audit vouchers on allowances received)

NEW JOIN AUDIT PROCESS

First Stage Audit (Continued):

5. Print audit (Option N) from MCTFS and complete the audit with the member:
(**CHRO**, BIR, BTR, ROS, RED, EDU, CRCR, ARCR, DRS OPT 23, CARSEA), SGLI, FSGLI, NAVMC 10522, VA Benefits Form (as Required), Remarks Summary and **Table 12-3 MCTFSPRIUM (Join/Triennial Checklist)**

a. DRS OPT 23 must be extracted and audited AFTER "Transfer" or "Drop" entry posts and BEFORE the "Join" entry is reported. The DRS Opt 23 must be ANNOTATED with resolution corrective actions, unit diary number and date

b. Report audit in UDMIPS (at a minimum, Type Transaction Code (TTC) 815/816 000)

6. OMPF/UMSR access via MOL from all command RUCs (Active/Reserve)

a. Join the member to the command's UMSR upon checking into the unit. This will allow the admin office to view and conduct the first stage audit of the members ESR in their OMPF

NEW JOIN AUDIT PROCESS

CONTRACT

Current contract/extension
Contract date reflects in MCTFS (TBIR)
If in receipt of a bonus, SOU is on file for current contract
If selected Lump Sum Leave (LSL), include LSL computation sheet

PG 11

Entries signed, dated and numbered
Ensure “choose (to) (not to)” is circled
If “to” is circled, ensure rebuttal is in the ESR
Ensure Page 11 is closed out (Only on initial scanning. Do not reprint to close out.)
Ensure “continued on supplemental page” is annotated if multiple pages
Ensure pages are numbered correctly (11, 11(a), 11(b)…etc)

PAGE 12

If there are no PG 12 entries remove PG 12
If there are entries move to the document side and make sure it’s been run on UD

NEW JOIN AUDIT PROCESS

UPB

Make sure UPB is filled out correctly and reported on UD

RED (Witness must have Grade, responsible LCpl/GS-3 or above)

Current RED

SGLI dates match RED

Make sure all RED entries are dated and signed

If NOK RED info has a PO Box make sure there is driving direction for the next of kin

If a Guardian is listed on the NAVMC 10922 it MUST be annotated on the RED

SGLI (Required to complete upon check-in)

Make sure it's the current form ($400,000)

Make sure its been signed by Auditor and Member

Check if unusual beneficiary is annotated (counseling)

FSGLI (Required to be reviewed upon check-in)

Completed only if declined or elects less than $100,000

NEW JOIN AUDIT PROCESS

BIR

Only Initial scan of BIR into ESR is required. Subsequent BIRs are now filed in Cmd Files for 2 yrs

Make sure all reported entries posted in MCTFS

Check marital status/dependents with NAVMC 10922

All Reserve and Active Reserve Marines must initial Mobilization Statement

Make sure its been signed by Marine

Ensure auditor is authorized and signs BIR

CRCR

Annual certification required (member can certify CRCR through MOL)

***Effective Oct 2013 CRCRs will be viewed and audited by the member via MOL and filed in the command's files

W-4

W4 indicates STATE/FEDERAL or S/F

If state/fed exemptions are different two W-4's are required

Attached to the **DD Form 2058** (State of Legal Residence)

DD Form 2058-1 must be completed for required 13 states (PRIUM 8-80608)

NEW JOIN AUDIT PROCESS

NAVMC 10922

Make sure all pertinent dependents have been added or removed via unit diary

If Guardian is annotated, it must be annotated on the RED

Make sure Marine, PersO and CO/I-I (by dir authorized) signs

PG 3

Number PG 3's and "Continued on Supplemental Page" for multiple pages

Ensure PG 3's are closed out (Only on initial scanning. Do not reprint to close out.)

MISC

DD Form 1966

Previous DD Form 4's/NAVMC 321a's (SOU's and LSL Computation)

DD Form 214/215's

CSB (counseled by **CO/XO/SgtMaj** if elected to receive)

VA Waiver (**only** if entitled to receive/waive VA benefits)

ROS

NOBE

DD Forms 2366/2366-1

VEAP

Annex, A, B, and C

Record of Disclosure

Privacy Act

NEW JOIN AUDIT PROCESS

First Stage Audit (Continued):

8. Verify all entitlements currently receiving from previous Command, and if required, stop any entitlements not currently authorized to receive at the new duty station

9. Complete and submit travel claim along with any additional and/or required entitlements or advances requested by the member that were not requested and paid in full from detaching Command. Once travel claim is settled (to include any additionally submitted entitlements or advances) audit the Electronic Document Access (EDA) travel voucher and DTMS History for accuracy of all entitlements and reimbursements

10. Validate that the member's ESR and/or audit documentation has been successfully uploaded into the member's OMPF.

NEW JOIN AUDIT PROCESS

Second Stage Audit:

1. The second stage audit MUST be initiated WITHIN 60 days from the "Date Joined Present Unit". There is NO FURTHER REQUIREMENT for waiting on the Elapsed Time "520/521" entry to post to initiate the second stage audit. This is now a finance office requirement

2. Audit the MCTFS Remarks Summary for entitlements with annotations.
3. Audit tools include:

✓LES
✓MCAAT printouts
✓TRS remarks summary from MCTFS
✓Travel Voucher
✓Disbursing Office Voucher (DOV)
✓Join Audit IMR from Report Studio/Net

4. Ensure all entitlements, as required, have stopped or started on the correct effective dates (BAH, BAS, COLA, SDA, FSA, SGLI and FSGLI…etc.)

NEW JOIN AUDIT PROCESS

Files: 3 Year Retention

(New join “package” recommendation):

1. Check-in sheet (Completed)(Recommended)
2. Figure 12-3 MCTFSPRUIM New Join Audit Sheet
3. MCTFS Remarks Summary (Audited)
4. Leave and Earnings Statement (Audited)
5. ***Elapsed Time entry printout (Recommended) (Audited)
6. New Cmd travel claim with settled voucher (Audited)
7. New Cmd NAVMC 11116 with history – Advances (Audited)
8. Option 23 (Audited)
9. Completed BIR (mob statement, BAH Certification and signatures) (Reserve and AR Marines)
10. Completed CRCR (Reserve and AR Marines)
11. MCTFS Remarks Summary (Recommended) (Audited)
12. Reporting endorsement
13. Detaching endorsement
14. PCS Orders
15. Web Orders
16. Travel claim – Prev Cmd with settled vouchers (Audited)
17. NAVMC 11116 with history – Prev Cmd Advances (Audited)

TRENDS

1. New join audits are not being completed on all required new joins.

2. Not ensuring proper entitlements or effective dates are reported.

3. Option 23 is not being printed, audited and annotated correctly. Failure to properly work the option 23 could cause the Marine to be underpaid, overpaid, or have information missing from the MCTFS.

4. Travel claim with settled voucher is not being audited.

5. Second stage audits are not being completed.

6. Not having access to ODI to scan required documents into the members ESR.

CONCLUSION

The following topics were discussed during the course of this presentation: ESR, audit occasions which included New Join, First Stage, Second Stage, Mobilization/Deployment, Post-deployment/De-mobilization/Post TAD excess/From FAP and Member married to Member. Additional attention was paid to the New Join First/Second Stage process and common trends associated with audits.

NEW JOIN AUDIT

Questions?